

FORM PTO-1390 (Modified)  
(REV 11-2000)

U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE

**TRANSMITTAL LETTER TO THE UNITED STATES  
DESIGNATED/ELECTED OFFICE (DO/EO/US)  
CONCERNING A FILING UNDER 35 U.S.C. 371**

ATTORNEY'S DOCKET NUMBER

NA 3P70

U.S. APPLICATION NO. (IF KNOWN, SEE 37 CFR

09/914336

INTERNATIONAL APPLICATION NO.  
PCT/JP00/09283INTERNATIONAL FILING DATE  
26 December 2000PRIORITY DATE CLAIMED  
28 December 1999

## TITLE OF INVENTION

**INFORMATION RECORDING MEDIUM, CONTACTLESS IC TAG, ACCESS DEVICE, ACCESS SYSTEM,  
LIFE CYCLE MANAGEMENT SYSTEM, INPUT/OUTPUT METHOD, AND ACCESS METHOD**

APPLICANT(S) FOR DO/EO/US

Seiichiro Tamai and Shinichi Michiasaka

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3. ☐ This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (24) indicated below.
4. ☐ The US has been elected by the expiration of 19 months from the priority date (Article 31).
5. ☒ A copy of the International Application as filed (35 U.S.C. 371 (c) (2))
  - a. ☐ is attached hereto (required only if not communicated by the International Bureau).
  - b. ☒ has been communicated by the International Bureau.
  - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☒ An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)).
  - a. ☒ is attached hereto.
  - b. ☐ has been previously submitted under 35 U.S.C. 154(d)(4).
7. ☐ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371 (c)(3))
  - a. ☐ are attached hereto (required only if not communicated by the International Bureau).
  - b. ☐ have been communicated by the International Bureau.
  - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
  - d. ☒ have not been made and will not be made.
8. ☐ An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
9. ☒ An oath or declaration of the inventor(s) (35 U.S.C. 371 (c)(4)).
10. ☐ An English language translation of the annexes of the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371 (c)(5)).
11. ☐ A copy of the International Preliminary Examination Report (PCT/IPEA/409).
12. ☒ A copy of the International Search Report (PCT/ISA/210).

**Items 13 to 20 below concern document(s) or information included:**

13. ☒ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
14. ☒ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
15. ☐ A **FIRST** preliminary amendment.
16. ☐ A **SECOND** or **SUBSEQUENT** preliminary amendment.
17. ☐ A substitute specification.
18. ☐ A change of power of attorney and/or address letter.
19. ☐ A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 35 U.S.C. 1.821 - 1.825.
20. ☐ A second copy of the published international application under 35 U.S.C. 154(d)(4).
21. ☐ A second copy of the English language translation of the international application under 35 U.S.C. 154(d)(4).
22. ☒ Certificate of Mailing by Express Mail
23. ☒ Other items or information:

**Copy of Notification of the Recording of a Change; Copy of PCT Request form; and Copy of Inter'l Publication**

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09/9143

**PCT/JP00/09283**

**NAK1-BP70**

24. The following fees are submitted:.

**CALCULATIONS** PTO USE ONLY

**BASIC NATIONAL FEE ( 37 CFR 1.492 (a) (1) - (5) ) :**

- |  |                  |
|--|------------------|
| <input type="checkbox"/> Neither international preliminary examination fee (37 CFR 1.482) nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO and International Search Report not prepared by the EPO or JPO . . . . . | <b>\$1000.00</b> |
| <input checked="" type="checkbox"/> International preliminary examination fee (37 CFR 1.482) not paid to USPTO but International Search Report prepared by the EPO or JPO . . . . .  | <b>\$860.00</b>  |
| <input type="checkbox"/> International preliminary examination fee (37 CFR 1.482) not paid to USPTO but international search fee (37 CFR 1.445(a)(2)) paid to USPTO . . . . .  | <b>\$710.00</b>  |
| <input type="checkbox"/> International preliminary examination fee (37 CFR 1.482) paid to USPTO but all claims did not satisfy provisions of PCT Article 33(1)-(4) . . . . .   | <b>\$690.00</b>  |
| <input type="checkbox"/> International preliminary examination fee (37 CFR 1.482) paid to USPTO and all claims satisfied provisions of PCT Article 33(1)-(4) . . . . .   | <b>\$100.00</b>  |

**ENTER APPROPRIATE BASIC FEE AMOUNT =**

**\$860.00**

Surcharge of **\$130.00** for furnishing the oath or declaration later than ☐ 20 ☐ 30 months from the earliest claimed priority date (37 CFR 1.492 (e)).

**\$0.00**

CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE
Total claims	25 - 20 =	5	x \$18.00
Independent claims	9 - 3 =	6	x \$80.00

**\$90.00**

**\$480.00**

**Multiple Dependent Claims (check if applicable).**

**\$0.00**

**TOTAL OF ABOVE CALCULATIONS =**

**\$1,430.00**

- ☐ Applicant claims small entity status. (See 37 CFR 1.27). The fees indicated above are reduced by 1/2.

**\$0.00**

**SUBTOTAL =**

**\$1,430.00**

Processing fee of **\$130.00** for furnishing the English translation later than ☐ 20 ☐ 30 months from the earliest claimed priority date (37 CFR 1.492 (f)).

**\$0.00**

**TOTAL NATIONAL FEE** =

**\$1,430.00**

Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31) **(check if applicable)**.

**\$40.00**

**TOTAL FEES ENCLOSED** =

**\$1,470.00**

**Amount to be:  
refunded**

\$

**charged**

\$

- a. ☒ A check in the amount of \$1,470.00 to cover the above fees is enclosed.
- b. ☐ Please charge my Deposit Account No. \_\_\_\_\_ in the amount of \_\_\_\_\_ to cover the above fees.  
A duplicate copy of this sheet is enclosed.
- c. ☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. 16-2462 A duplicate copy of this sheet is enclosed.
- d. ☐ Fees are to be charged to a credit card. **WARNING:** Information on this form may become public. **Credit card information should not be included on this form.** Provide credit card information and authorization on PTO-2038.

**NOTE:** Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status.

**SEND ALL CORRESPONDENCE TO:**

**Joseph W. Price**  
**PRICE and GESS**  
**2100 S.E. Main Street, Suite 250**  
**Irvine, CA 92614**  
**Tel: 949-261-8433**

**SIGNATURE**

**Joseph W. Price**

NAME \_\_\_\_\_

**25,124**

REGISTRATION NUMBER

**August 24, 2001**

DATE \_\_\_\_\_

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ALBIN H. GESS  
MICHAEL J. MOFFATT  
GORDON E. GRAY III  
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09/914336

Rec'd PCT/FTO 24 AUG 2001

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**DRAWINGS (34 SHEETS)**

Inventor(s): Seiichiro Tamai et al.

Title: INFORMATION RECORDING MEDIUM, CONTACTLESS  
IC TAG, ACCESS DEVICE, ACCESS SYSTEM, LIFE  
CYCLE MANAGEMENT SYSTEM, INPUT/OUTPUT METHOD,  
AND ACCESS METHOD

Attorney's  
Docket No.: NAK1-BP70

**EXPRESS MAIL LABEL NO. EM147975135 US**

**DATE OF DEPOSIT: August 24, 2001**

JOSEPH W. PRICE  
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68/914336

2003 Rec'd PCT/TO

24 AUG 2001

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**COPY OF INT'L SEARCH REPORT**

Inventor(s): Seiichiro Tamai et al.

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1603 Rec'd PCT/PTO 24 AUG 2001

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**COPY OF PCT REQUEST**

Inventor(s): Seiichiro Tamai et al.

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09/914336

JCO3 Rec'd PCT/PTO

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JC03 Rec'd PCT/TO 24 AUG 2001

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**COPY OF NOTIFICATION OF THE RECORDING OF A CHANGE**

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## DECLARATION AND POWER OF ATTORNEY

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